

UNITED STATES DISTRICT COURT
DISTRICT OF NEW JERSEY

COMMODITY FUTURES TRADING COMMISSION,
Plaintiff(s),

vs

WORLDWIDE MARKETS, LTD.; TAB NETWORK, INC.; THOMAS
PLAUT; and ARTHUR DEMBRO,

Defendant(s).

S T A T E M E N T

November 3, 2023

- - -

REPORTED BY: KATHLEEN SWENOR, RPR, CCR

- - -

Job No. CS6298674

TRANSCRIPT of the stenographic notes of
the proceedings in the above-entitled matter, as
taken by and before KATHLEEN SWENOR, a Registered
Professional Reporter, Certified Court Reporter
and a Notary Public of the State of New Jersey,
held on November 3, 2023, commencing at 10:00 in
the morning.

1 A P P E A R A N C E S:

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3 COMMODITY FUTURES TRADING COMMISSION
DIVISION OF ENFORCEMENT

4 BY: JON J. KRAMER, ESQ.

77 West Jackson Boulevard

5 Chicago, Illinois 60604

Attorneys for Plaintiff(s)

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8 GEKAS LAW, LTD

BY: CONSTANTINE "CHRIS" GEKAS, ESQ.

9 33 North LaSalle Street

Chicago, Illinois 60602

10 Attorneys for Defendant(s)

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Also Present: Joseph Patrick, Investigator

20 Joseph Konizeski, Esq.

John Kramer, Esq

21 Arthur Dembro

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E X H I B I T S

NO.	DESCRIPTION	PAGE
CFTC-185,	Email dated 10-17-23	
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CFTC-187,	Amended notice of deposition.....	9
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DEPOSITION SUPPORT INDEX

- - -

Direction to Witness Not to Answer

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(None)

Request for Production of Documents

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(None)

Stipulations

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(None)

Questions Marked

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(None)

1 MR. PLATT: My name is Joseph Platt.
2 I'm an attorney at the CFTC, which is the
3 plaintiff in this action. We are here to
4 conduct the deposition of Defendant
5 Worldwidemarkets, LTD pursuant to Federal
6 Rule of Civil Procedure 30(b)(6).

7 Would any other parties that are
8 present for today's proceedings identify
9 themselves for the record?

10 MR. GEKAS: I'm Chris Gekas. I
11 represent Art Dembro, who is on the line with
12 us as well.

13 MR. PLATT: It's 9:08 central time. No
14 witness has appeared for today's deposition
15 on behalf of Worldwidemarkets, Limited, at
16 least as of this time.

17 I would like to introduce CFTC
18 Exhibit-185.

19 MR. GEKAS: Is that on exhibit share,
20 Jody?

21 MR. PLATT: Yes.

22 MR. GEKAS: Okay, great. Thank you.

23 MR. PLATT: CFTC Exhibit-185 is an
24 email from me to Thomas Plaut dated October
25 17, 2023 with six attachments. Two of those

1 attachments are a deposition subpoena and a
2 deposition notice directed to defendant
3 Worldwidemarkets, Limited.

4 CFTC Exhibit-186 is a document entitled
5 subpoena to testify at a deposition in a
6 civil action. It is directed to
7 Worldwidemarkets, Limited and it reflects a
8 date and time of November 3, 2023, 10 a.m.

9 CFTC Exhibit-187 is a document entitled
10 Amended Notice of Deposition. And it
11 concerns the deposition pursuant to Rule
12 30(b)(6) of Worldwidemarkets, Limited
13 scheduled for today November 3, 2023 at 10
14 a.m. eastern time and includes a series of
15 topics for examination of defendant
16 Worldwidemarkets.

17 MR. GEKAS: Move it over to the marked
18 exhibits folder, won't you?

19 MR. PLATT: It's 9:10 a.m. central
20 time. And I still do not see any witness on
21 behalf of Worldwidemarkets, Limited appearing
22 for today's proceeding. I propose to go off
23 the record for 30 minutes and wait for any
24 witness to appear and we will resume the
25 proceedings.

1 (Whereupon, there was a recess from
2 10:13 to 10:43 a.m.)

3 MR. PLATT: We are back on the record
4 at 9:43 a.m. central time in the deposition
5 of Worldwidemarkets, Limited. I'm going to
6 mark an additional exhibit, CFTC-188, which
7 is an email from Drew Pagano, P-A-G-A-N-O, to
8 me this morning, November 3, 2023. Mr.
9 Pagano writes that invitations to access the
10 virtual platforms for today's deposition have
11 been sent to all parties, including Thomas
12 Plaut, Tplaut1@gmail.com. Because no witness
13 has appeared for today's deposition on behalf
14 of Worldwidemarkets I would like to go off
15 record and conclude the deposition.

16 Mr. Gekas, do you have any remarks you
17 would like to make?

18 MR. GEKAS: No, that's fine. Thank
19 you.

20 (Exhibit CFTC-185, Email dated
21 10-17-23 with attachments, marked for
22 identification, as of this date.)

23 (Exhibit CFTC-186, Subpoena, marked
24 for identification, as of this date.)

25 (Exhibit CFTC-187, Amended notice of

1 deposition, marked for identification, as of
2 this date.)

3 (Exhibit CFTC-188, Email from Drew
4 Pagano, marked for identification, as of this
5 date.)

6 (Time noted: 10:44 a.m.)

C E R T I F I C A T E

I further certify that the foregoing is a true and accurate transcript of the testimony as taken stenographically by and before me at this time, place and date hereinbefore set forth.

I do further certify that I am neither a relative nor employee nor attorney nor counsel of any of the parties to this action, and that I am neither a relative nor employee of such attorney or counsel, and that I am not financially interested in the action.



Kathleen Swenor, RPR, CCR

[10 - federal]

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Federal Rules of Civil Procedure

Rule 30

(e) Review By the Witness; Changes.

(1) Review; Statement of Changes. On request by the deponent or a party before the deposition is completed, the deponent must be allowed 30 days after being notified by the officer that the transcript or recording is available in which:

(A) to review the transcript or recording; and

(B) if there are changes in form or substance, to sign a statement listing the changes and the reasons for making them.

(2) Changes Indicated in the Officer's Certificate. The officer must note in the certificate prescribed by Rule 30(f)(1) whether a review was requested and, if so, must attach any changes the deponent makes during the 30-day period.

DISCLAIMER: THE FOREGOING FEDERAL PROCEDURE RULES ARE PROVIDED FOR INFORMATIONAL PURPOSES ONLY.

THE ABOVE RULES ARE CURRENT AS OF APRIL 1, 2019. PLEASE REFER TO THE APPLICABLE FEDERAL RULES OF CIVIL PROCEDURE FOR UP-TO-DATE INFORMATION.

VERITEXT LEGAL SOLUTIONS

COMPANY CERTIFICATE AND DISCLOSURE STATEMENT

Veritext Legal Solutions represents that the foregoing transcript is a true, correct and complete transcript of the colloquies, questions and answers as submitted by the court reporter. Veritext Legal Solutions further represents that the attached exhibits, if any, are true, correct and complete documents as submitted by the court reporter and/or attorneys in relation to this deposition and that the documents were processed in accordance with our litigation support and production standards.

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